

You have received this "Request for Applications (RFA)" through USAID Internet site. If you have any questions regarding this RFA you may contact the USAID Official named in the cover letter of this solicitation. If you are not using Word 97 to view this document, you will have to save the document in the format of the wordprocessor that you are using in order to view and print any standard forms. The number of pages contained in this electronic copy may not exactly correspond to the hard paper copy, although generally all the information is contained herein.

The Agency is not responsible for any data/text that may not be received when retrieving this document electronically. If the recipient does not notify the contact person that they have obtained this document then any amendments to the document may not be available to the recipients. Amendments to solicitation documents generally contain information critical to the submission of an application.

## **FY-2003 Child Survival and Health Grants Program (CSHGP)**

Issuance Date: August 30, 2002  
Closing Date: December 04, 2002  
Closing Time: 11:00 A.M. EST

Subject: Request for Applications (RFA) Number M/OP-03-002 FY-2003 Child Survival and Health Grants Program (CSHGP)

The United States Agency for International Development (USAID) Bureau for Global Health, Office of Health, Infectious Disease, and Nutrition (GH/HIDN) is seeking applications from U.S.-based Private and Voluntary Organizations (PVOs), engaged in international health and development to implement activities under the Child Survival and Health Grants Program (CSHGP). The CSHGP was previously the Child Survival Grants Program (CSGP), administered from the Bureau for Democracy, Conflict and Humanitarian Assistance, Office of Private and Voluntary Cooperation (DCHA/PVC). Please refer to the Program Description for a complete statement of goals and expected results.

The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

USAID reserves the right to fund any or none of the applications submitted in response to this RFA. Awards will be made subject to the availability of funds.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Program Description ;
2. Section B - Grant Application Instructions ;
3. Section C - Selection Criteria ;
4. Section D - Certifications, Assurances, and Other Statements  
of Applicant/Grantee;
5. Annexes

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

**(By U.S. Mail)**

Attn: USAID/GH/HIDN Room 3.7.75  
Ronald Reagan Building International Trade Center  
1300 Pennsylvania Ave. N.W.  
Washington, D.C. 20523-7600  
(202) 712-5734

**(By All Other Means of Delivery)**

ATTN: USAID  
Ronald Reagan Building International Trade Center  
Washington, DC \*

\*Please use the phone at the visitor's desk to contact **Ms. Sheila Lutjens at x2-5734 or Ms. Susan Youll at x2-1444**. Any prospective applicant who has questions concerning the contents of this RFA should submit them **in writing to Ms. Sheila Lutjens (slutjens@USAID.gov) or Ms. Susan Youll (syoull@USAID.gov)** by close of business **October 31, 2002**. Any additional information regarding this RFA will be furnished through an amendment to this RFA.

Send a copy of the complete application to the USAID Mission in the country (ies) of the proposed program by close of business **December 13, 2002**. It is the responsibility of the PVO to ensure that the USAID Mission receives a copy. See Annex A for the current Mission addresses.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution of USAID procurement information is via the Internet. This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.usaid.gov>. Select Business and Procurement from the home page, then "USAID Procurements". On the following screen, select "Download Available USAID Solicitations". Receipt of this RFA through INTERNET must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of the application document to ensure that it has been received from INTERNET in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section C - Selection Criteria;
- (b) Section B - Grant Application Instructions;
- (c) the Program Description;

(d) This Cover Letter.

Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

Mark Walther  
Agreement Officer/Chief  
M/OP/G Division  
Office of Procurement

Table of Contents	Page
SECTION A - PROGRAM DESCRIPTION. . . . .	5
SECTION B - GRANT APPLICATION INSTRUCTIONS . . . . .	10
General Guidelines . . . . .	10
I. Award Categories . . . . .	10
II. Technical Application . . . . .	13
III. Cost Application . . . . .	26
IV. Required Documentation . . . . .	32
SECTION C - SELECTION CRITERIA . . . . .	32
I. Eligibility Requirements . . . . .	35
II. Program Restrictions . . . . .	35
III. Technical Evaluation Criteria. . . . .	36
SECTION D . . . . .	39
PART I - CERTIFICATIONS AND ASSURANCES . . . . .	39
PART II - OTHER STATEMENTS OF RECIPIENT . . . . .	46
CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS. . . . .	50
KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING . . . . .	52
PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING. .	54
ANNEXES	
(A) Mission Contacts. . . . .	54
(B) Guidance: 2002 Child Survival and Health Programs Fund. . . . .	61
(C) Technical Reference Materials . . . . .	62
(D) Program Recipients. . . . .	63
(E) Budget Forms. . . . .	64

## SECTION A: PROGRAM DESCRIPTION

### I. OVERVIEW OF THE CHILD SURVIVAL AND HEALTH GRANTS PROGRAM

#### A. Background

Since 1985, the Office of Private and Voluntary Cooperation (PVC) invested Congressionally-directed Child Survival Funds in community-based child survival programs implemented by U.S. PVOs and their local partners. The program was intended to enhance the participation of PVOs in reducing infant, child, and maternal mortality in developing countries and to strengthen their organizational, managerial, and technical competencies in these areas. Since the program began, PVC has funded more than 340 child survival programs in 44 countries, with more than 35 PVOs. The rigorous standards of the Child Survival Grants Program (CSGP) challenged PVOs and their local partners to provide higher quality, sustainable child survival interventions in a variety of program settings, from the smallest, most remote communities to large, district-wide programs, partnering with community groups and district health authorities.

As a result of the recent USAID reorganization, the CSGP was transferred to the Bureau for Global Health's Office of Health, Infectious Disease and Nutrition (GH/HIDN) and was renamed the Child Survival and Health Grants Program (CSHGP) to capture more fully the breadth of programs that PVOs implement. The high quality standards will be maintained in GH/HIDN while some changes, as described in the "New This Year" section of this document, will support the expansion and strengthening of the PVO contribution to improving child and maternal health.

In addition to the PVO grants, the CSHGP supports the CORE Group (The Child Survival Collaborations and Resources Group), a network of PVOs (over 35 organizations), the majority of which are current or past recipients in the Child Survival Grants Program. The goal of CORE is to assist member organizations to reduce child and maternal mortality by improving health of under-served populations. The members of CORE are citizen-supported, U.S.-based PVOs, i.e. non-profit organizations supported by individuals, groups, and corporations, in addition to receiving USAID support. Collectively, CORE members have presence in more than 140 countries. They have had enormous impact throughout the world in addressing not only the challenges of child survival but also those of agriculture, education, economics, poverty alleviation, medical care, sanitation, environmental problems, and the growth of democracy. For more information, see the CORE web site

<http://www.coregroup.org/>.

The CSHGP also provides resources to ORC/Macro International to implement the Child Survival Technical Support (CSTS) contract that serves to strengthen:

- the ability of PVO staff to design, manage and evaluate child survival activities;
- the organizational capacity of PVO health units to fund, administer and provide backstopping support to a growing portfolio of child survival and health projects;
- the development and dissemination of information on the PVOs' successes and comparative advantage in implementing health programs;
- the ability of PVOs to strengthen host-country partners in long-term partnerships for child survival and health programming; and
- the monitoring of performance, and management of the Child Survival and Health Grants Program.

Through CSTS and other mechanisms, PVOs receive individualized technical assistance in program design and implementation and periodic state-of-the-art information on child survival interventions. CSTS also offers training opportunities focusing on measuring, documenting and disseminating results and specialized workshops and conferences for personnel at the country, regional and headquarters level. For more information about CSTS, see their website at: <http://www.childsurvival.com/>.

## **B. New This Year**

Based on initial consultations with the PVOs and the transfer to Global Health, the following changes are made in this year's RFA, and more fully defined in subsequent sections of this RFA.

- ❑ Revised program objective to: Support U.S.-based PVOs and their local partners to carry out quality child and maternal health and nutrition, family planning, HIV/AIDS and infectious disease programs that measurably improve infant, child and maternal health and nutrition status, and contribute to the reduction of infant, child and maternal mortality;
- ❑ Three new CSHGP "Results" which will contribute to achievement of USAID's Global Health's five (5) Strategic Support Objectives;
- ❑ **A new grant category ("Expanded Impact")** which serves to encourage the application of methods, strategies, or materials on a wider scale and results in an increased number of beneficiaries and/or beneficial to multiple geographic areas or programs;
- ❑ The Expanded Impact grant category will **NOT** be counted within the requirement, stated in last years' RFA, that a "PVO may not be a recipient of more than six (6) ongoing child survival programs at any one time." However, a PVO may receive only one cooperative agreement under this category;
- ❑ The Technical Application section and evaluation criteria revised to incorporate the Expanded Impact category; new intervention areas; and changes in priorities;
- ❑ Guidance for the Cost Extension grant category is provided in this RFA and not under separate cover as in previous years;
- ❑ The **"New"** grant category is renamed to the **"Standard"** grants category. The definition and purpose under this grant category remain the same.
- ❑ Tuberculosis and Family Planning are added as new interventions. Applications which propose a TB component should address specific requirements as identified in the Technical Application and Evaluation Criteria sections;
- ❑ Increased attention to collaboration with USAID field missions and selecting those interventions that support mission programs;
- ❑ Changes in organizational requirements (e.g. cost sharing, see Eligibility Requirements);
- ❑ Additional guidance/criteria for those PVOs planning to work in post-conflict/conflict and/or transition countries.
- ❑ Revised Guidance: 2002 Child Survival and Health (CSH) Program Fund.

### C. Global Health Strategic Objectives and CSHGP Results

The CSHGP will now contribute to the Global Health Bureau's five strategic support objectives:

- SO 1: Increased use by women and men of voluntary practices that contribute to reduced fertility.
- SO 2: Increased use of key maternal health and nutrition interventions;
- SO 3: Increased use of key child health and nutrition interventions;
- SO 4: Increased use of improved, effective and sustainable responses to reduce HIV transmission and to mitigate the impact of the HIV/AIDS pandemic; and,
- SO 5: Increased use of effective interventions to reduce the threat of infectious disease of major public health importance.

The objective (revised) of the CSHGP is to:

***-Support U.S.-based PVOs and their local partners to carry out effective, quality child and maternal health and nutrition, family planning, HIV/AIDS and infectious disease programs that measurably improve infant, child and maternal health and nutrition, and contribute to the reduction of infant, child and maternal mortality.***

The CSHGP provides resources, training and technical assistance to PVOs so that they:

- a) achieve their program objectives to measurably and equitably improve the health of children and mothers;
- b) increase collaboration with USAID Missions and other donors/agencies which implement programs in-country with the goal to extend the reach and impact of the PVO programs through successful models;
- c) build the capacity of local partners/NGOs to design, implement and evaluate quality child survival and health programs; and
- d) increase U.S. public awareness of the worldwide PVO contributions to child survival and maternal health.

The CSHGP contribution to the achievement of the CSHGP's and GH's Strategic Support Objectives as well as the PVO's program objectives will be measured through following intermediate results (IR):

**IR1: Increased quality of child and maternal health, and nutrition and infectious disease programs implemented by PVOs and their local partners.**

USAID invests resources in well designed, technically sound, cost-effective programs that focus on activities and strategies which are expected to have the greatest and most sustainable reductions in child and maternal mortality. The CSHGP will continue to strengthen the PVO/NGO's and local partners ability to increase coverage (scale up) as well as to design, monitor, evaluate and manage quality, sustainable CS/FP programs.

**IR2: Increased sustainability of child and maternal health and nutrition and infectious disease programs/interventions initiated by PVOs and their partners.**

The intention of this result is for PVOs to develop and implement strategies/approaches which are fully integrated at the appropriate level (e.g.community, district, sub-regional, national) level and/or scaled up so



that the positive health benefits derived from the program interventions are maintained over time to the greatest number of beneficiaries possible. Capacity building of the local partners will be key to the success of achievement of this result.

**IR3: Child and maternal health and nutrition and infectious disease program strategies, tools and approaches developed/adapted, tested and applied.**

This result will support USAID's approach to improving child and maternal health and nutrition, which is focused on developing and applying effective, low-cost interventions that address the principal causes of morbidity and mortality. Under this result, the PVO grantees will continue to develop, adapt and/or scale up successful approaches.

**D. CSHGP Technical Interventions**

To achieve the above Intermediate Results, the CSHGP supports programs that implement one or more of the following interventions (based on the situational analysis and prioritization of interventions):

Immunization

Nutrition (including micronutrient promotion or supplementation)

Breastfeeding

Control of diarrheal disease <sup>1</sup>

Pneumonia case management

Control of malaria

Maternal and newborn care

Child Spacing in the context of an integrated child survival program

Family Planning <sup>2</sup>

Tuberculosis

HIV/AIDS

Other infectious disease activities may be appropriate in certain sites, where they have an impact on child mortality.

GH/HIDN supports integrated programs to provide the necessary services most effectively. The Integrated Management of Childhood Illness (IMCI), including community and household IMCI (C/HH-IMCI), is an integration strategy that is being adopted by PVOs and is supported by the CSHGP.

In countries where IMCI is the MOH method of integration, and for CS projects that will include all of the IMCI interventions, IMCI may be the most appropriate approach. However, for projects that will only include some of the IMCI interventions, or in countries that have not adopted IMCI fully, the PVO may adapt or modify the IMCI approach, or develop some other method of integrating the interventions.

**New Interventions: Family Planning and TB**

**USAID believes that PVOs have a strategic role to play in family planning programs and TB prevention and control programs, new interventions added under the CSHGP. It is critical that applicants weigh their comparative**

---

<sup>1</sup> Water and sanitation activities contributing directly to health objectives are in concordance with 2002 CSH Guidance. While it is unlikely that grant applications focused entirely on infrastructure would receive competitive scores, the previous restrictions on water and sanitation programs have been removed. The rationale for GH investments in water and sanitation is based on a hygiene approach (e.g. good handwashing) to complement and optimize the impact of water and sanitation infrastructure improvements (See Annex B).

<sup>2</sup> Family planning and Reproductive Health (FP/RH) Funds and Infectious Disease (TB) funds will be made available to programs which follow the TRMs (Annex C) and the 2002 CSH Program Fund Guidance (Annex B).

advantage and bring the relevant experience to bear if they propose to work in these areas. If appropriate, applications can be 100% family planning or TB in focus.

**Family Planning:**

A comprehensive family planning program should serve the objective of creating the necessary conditions for women and men to have the number and spacing of children that they desire. Key family planning and reproductive health outcomes for FP/RH funds include, but are not limited to, correct voluntary use of contraceptive methods, health spacing of births, reduction of unmet need and total fertility rate; increased age at sexual debut and age at birth of first child, among others. For a more detailed description of the possible use of FP/RH funds, please refer to Annex B (2002 CSH Guidance) , and specifically, the "Guidance on Definition and Use of the Family Planning and Reproductive Health (FP/RH) Funds".

Please see Section II., Program Restrictions, for a discussion of the legislative and policy requirements affecting the use of FP/RH funds.

**Tuberculosis:**

USAID fully supports the World Health Organization's DOTS strategy. Applications should include a TB component **ONLY** if there is a clearly defined role for the PVO within the context of a National TB Control Program.

(For more information on all the above technical areas, see Annex C, Technical Reference Materials).

## SECTION B - GRANT APPLICATION INSTRUCTIONS

### I. GENERAL PREPARATION GUIDELINES

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section C addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process.

Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 2 of the cover letter accompanying this RFA.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section C.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below and under the Technical and Cost Application sections.

1. The following are the page limits:

<b>Budget Information:</b>	<b>No limit</b>
<b>Executive Summary:</b>	<b>2 pages</b>
<b>Body of Application:</b>	<b>30 pages</b>
<b>All Attachments:</b>	<b>25 pages</b>

2. ATTACHMENTS:

- Map of Program Area (if applicable)
- Mentoring Agreement (if applicable)
- Workplan
- Legal Authorization to Operate in Target Country(ies)
- Previous Evaluations (if applicable)
- List of Federally Funded Contracts and Assistance (if applicable)
- List of All Pending Applications (if applicable)
- Letters of Support
- Position Description/CVs
- Organizational Chart
- Certifications (if applicable)

### II. AWARD CATEGORIES

Under this RFA, USAID/GH/HIDN requests applications under five (5) categories of funding: Entry, Mentoring, Standard (formerly entitled "New" grants category), Cost Extension and Expanded Impact categories. The first two categories are geared towards PVOs that have never participated in the program before. GH/HIDN encourages new entrants to the CSHGP program to apply through either of these categories. The third category - Standard - is open to all interested applicants and is the main category in which

current and past recipients have competed. The Cost-extension category is open to only those PVOs which have an existing CSHGP program which ends in FY 2003. The Expanded Impact Category is open to current and past recipients and is more fully described below.

All categories are competitive, with proposed programs only competing against others in the same category. PVOs may apply for more than one category of funding. However, USAID will not award concurrent Cooperative Agreements to an entry PVO under both the Entry Program and another category.

#### **1. Entry Category** (up to five years, up to \$1,100,000)

USAID encourages applications from PVOs that have at least 5 years of experience implementing community health programs in developing countries and that have never received a competitively awarded Child Survival Cooperative Agreement under the CSGP (now CSHGP).

Programs in this category are funded initially for two (2) years, and may be non-competitively extended for an additional three (3) years. Funding beyond the initial two-year period is contingent upon the successful review and acceptance of the Detailed Implementation Plan (DIP) for the program.

During the first year of an Entry Program, PVO recipients complete an in-depth assessment and analysis of the current health situation in the program site, establish strong partnerships with local counterparts, and jointly prepare a work plan, called a Detailed Implementation Plan (DIP), for submission to USAID by October 1, 2004 as an application for continued funding for the five year agreement period, following guidelines provided by USAID. The analysis will include the current state of health care services, including infrastructure, systems, and technical capacity. It should also include the current health status of the beneficiary population, the knowledge, practices, and beliefs of the target population, and all other information that would help the PVO develop a program that promotes access to care for the disadvantaged and under-served segments of the population.

The CSHGP will be available to assist the entry PVO during the life of the cooperative agreement with specified technical assistance and training from CSTS and other resources. An approved DIP will serve as the work plan for the remainder of the cooperative agreement period.

#### **2. Mentoring Category** (up to five years, up to \$1,700,000)

The second option through which PVOs may enter into the CSHGP is the Mentoring category. This program involves a partnership between two U.S. PVOs where a more experienced PVO helps to build the capacity of a PVO that has never been funded through the Child Survival Grants Program and has some international health and development experience. The more experienced PVO must have successfully completed at least one CSHGP (previously CSGP). This category of funding is intended to encourage PVOs with less experience in community-based child survival programs to engage in these activities, and to increase the more experienced PVO's ability and skills in child survival technical interventions, organizational development, partnering, technical assistance, and other programming capabilities.

GH/HIDN encourages PVOs to consider developing this kind of partnership. Applications for Mentoring Cooperative Agreements will only compete with other applications in this funding category; they will not compete across categories.

A single award will be made to only one recipient (either the less experienced or the more experienced organization as determined by the partners), with the partner as a sub-recipient. The application should propose a management structure, determined by both partners to best meet their respective needs. Both the cooperative agreement recipient and the sub-recipient must demonstrate a formal documented presence in the proposed country.

Those PVOs which serve as the "mentor"- whether recipient or sub-recipient - under this grant category will **not** need to include this cooperative agreement within their limit of 6 cooperative agreements.

To help PVOs contact others that might be interested in a partnership, attached is a list of past and current Child Survival and Health Grants Program recipients meeting the requirements to function as a more experienced PVO in the Mentoring category. (See Annex D for program recipients).

### **3. "Standard" Category (up to five years, up to \$1,500,000)**

This is a highly competitive funding category, requiring substantial experience in child and maternal health, family planning, and/or infectious disease (e.g. TB) programs. Successful applicants demonstrate a strong ability to implement effective programs and set higher standards for both their organizations and the PVO community. These programs propose viable and innovative strategies, methods, or materials for implementing activities that may be adapted for use by other organizations or that are applicable on a wider scale.

**During the first eight months** (previously 6 months) of the agreement period, PVO recipients complete an in-depth assessment and analysis of the current health situation in the program site, establish strong partnerships with local counterparts, and jointly prepare a work plan, called a Detailed Implementation Plan (DIP) following guidelines provided by USAID to those PVO applications selected for funding. The analysis will include the current state of health care services, including infrastructure, systems, and technical capacity. It should also include the current health status of the beneficiary population, the knowledge, practices, and beliefs of the target population, and all other information that would help the PVO develop a program that promotes access to care for the disadvantaged and under-served segments of the population. The DIP is reviewed with the PVO and a panel of international health professionals from USAID and other organizations to ensure a successful program.

- One award will be made to a single recipient, with any number of sub-recipients.

### **4. Cost Extension Category (up to five years, up to \$1,300,000)**

This category provides support to PVOs with programs that are ending in the upcoming fiscal year (FY 2003). Applications for Cost Extensions will only compete with other applications in this funding category; they will not compete across categories.

A cost extension includes additional funding for a modified program description to an existing Child Survival and Health Grants Program Cooperative Agreement. Cost extensions emphasize growth and innovation, including expansion of an original program and/or a beneficiary population (e.g. expanding geographic area), as well as adding new strategies and/or

interventions. The original program should have demonstrated significant results and potential for scale up.

**(The following is a change, from previous years, under this category)**

An alternative option for the PVOs with existing CSHGP agreements is, in lieu of applying for a cost-extension program as described above, use a successful component, methodology, strategy, etc. of the existing program and take it to scale under the Expanded Impact category. If a PVO selects this option, they will **not** be considered under the cost-extension category and should fulfill the requirements under the Expanded Impact category.

#### **5. Expanded Impact Category** (up to four years and \$2,500,000)

This is the first year for this category. Under this category, PVOs have the flexibility to propose proven strategies, methods or interventions which will be taken to scale (district/regionally/nationally). This category does not restrict a PVO to a confined, geographic site (usually the community/district level) as in the other grant categories. Rather, the aim is to attain broader impact by collaborating with other PVOs/agencies/private companies/etc. working in the given country or countries to expand the reach to a greater number of beneficiaries.

As with the "Standard" grants category, this will also be highly competitive requiring **substantial experience** in child and maternal health, family planning, infectious disease (e.g. TB) programs. Successful applicants must demonstrate a strong ability to implement effective programs and set higher standards for both their organizations and the PVO community.

As this is the first time this category is used in the CSHGP, the following provides illustrative examples of interventions that would be entertained:

- ◆ The issue of re-treatment of bednets and/or broadening the reach of ITNs at the community level, is addressed throughout a region of a country through e.g. women's groups, development of alliances, consortium of PVOs and/or NGOs.
- ◆ A PVO currently partners with a national, or district chapter of, a professional association to provide family planning/reproductive health information/counseling and supplies. Because this association is a national level organization, there is the potential not only to scale this intervention up to reach significantly larger populations, but also to advocate with the local and national government for improved FP/RH policies and services.

A modified DIP will be submitted **6 months** after award which will include active participation and contribution by other partners and local counterparts. Guidance for this implementation/workplan will be provided upon award to those successful applicants.

### **III. TECHNICAL APPLICATION**

Depending on the grant category the PVO is applying for, requirements may vary. It is incumbent on the applicant to ensure that they respond specifically to criteria/questions relating to the relevant grant category also taking special note of any additional requirements related to TB and/or family planning.

## 1. Executive Summary (2 pages)

This section should contain the information that the PVO believes best represents its proposed program.

❖ For **Entry, Mentoring, Standard, and Cost Extension** grant categories applicants should include the following:

- the application category
- program location
- problem statement (**for Cost Extensions**, include why this area is still a high-need area)
- estimated number of beneficiaries, broken down by children under five and women of reproductive age
- program goals, objectives and major strategies (**for Cost Extensions**, include how the program builds on and expands the original program)
- a break down of the estimated level of effort devoted to each intervention using the list of interventions in Section I (e.g. immunizations – 30%, control of diarrheal diseases – 45%, and pneumonia case management – 25%. If IMCI is proposed, do NOT list IMCI 35%, rather list as above)
- local partners involved in program implementation
- the proposed start and end dates
- the level of funding
- name and position of the local USAID Mission representative with whom the proposed program has been thoroughly discussed, prior to submission
- main authors of the document
- contact person at HQ for the proposed program (also to be listed in SF424)

❖ For the **Expanded Impact** category applications should **only** include the following:

- application category
- problem statement
- program goals, objectives and major strategies
- target country(ies) and local partners involved in implementation
- the proposed start and end dates
- the level of funding
- name and position of the local USAID Mission representative(s) with whom the proposed program has been thoroughly discussed, prior to submission
- main authors of the document
- contact person at HQ for the proposed program (also to be listed on SF424)

## 2. Description of the PVO Applicant(s)

This section of the application provides information about the applicant organization. The section should provide evidence that the PVO has the ability to carry out a successful program. For Mentoring and other programs that involve partnering of two or more U.S. PVOs, all of the following information should be provided for each of the U.S. PVO partners.

❖ For **Entry, Mentoring, Standard and Expanded Impact** grant categories, provide the following:

- Describe the U.S. PVO applicant - including its general purpose, mission statement, goals, annual budget (including funding sources), major sectors of involvement, and main methods of operation.
- Discuss the organization's experience in designing, implementing, monitoring, and evaluating international, community-level programs, in the proposed child and maternal health, family planning, HIV/AIDS interventions.
- Describe the organization's operations, current agreements, and working relationships with the host country government and other organizations within the country proposed in this application. **Documentation of current legal authorization to operate in the host country MUST be provided in an ATTACHMENT.**
- **Please note:** For the Mentoring Category, provide as an ATTACHMENT a draft agreement between the two organizations submitting this application. Include the defined roles, responsibilities, and accountability of each partner organization. In the event that this application is approved for funding, the agreement must be finalized and signed before the award is made by USAID.
- **Applications which include a TB component** must demonstrate past performance in implementing TB programs in one of the following ways:
  - Significant past performance in the implementation of TB prevention and control programs in country. Provide information on where programs have been carried out and a brief description of the interventions and strategies;
  - Technical capacity at the PVO Headquarters with demonstrated field experience in implementing TB prevention and control programs (include the individual's c.v. in an attachment). The application needs to include a plan of how this individual will build the capacity at the country level to ensure appropriate implementation;
  - Organizations for which TB is a new activity, should include concrete collaboration with an experienced organization through a letter of support and a work plan that reflects the institution's involvement.

❖ **For Cost Extension grant category:**

- Describe what has been accomplished in the original program.
- Discuss the results of the Mid-term evaluation, and steps the applicant took to address the results/recommendations of the evaluation.
- If the cost extension application is proposing to add/include a TB component, see guidance in above section relative to TB applications.

### **3. Situational Analysis**

This section of the application presents: an assessment which provides relevant health data; opportunities and main constraints to improving child survival and maternal health; and serves as the basis for the selection of interventions and major strategies for the proposed program.



**Special Note for applications which include a TB component (regardless of grant category):**

In comparison to most of the interventions addressed in the CSHGP, it is important to note that the targeted beneficiaries for a TB intervention are primarily adults. The situational analysis should provide a description of the population the proposed program will address (number of beneficiaries, etc.).

❖ Guidance for **Entry, Mentoring, Standard, and Cost Extension** Categories **ONLY**:

- Briefly describe the location of the proposed program (for **Cost Extensions**, if the extended program area is different from the original program, clearly delineate the old and new areas) and provide a map(s) with scale in an ATTACHMENT. Estimate the total population, breaking out children under five years of age and women of reproductive age (15-49 years) living in the program site (Programs with a TB component will include a breakout of the target beneficiaries). Estimate the number of villages (or other community unit) that are in the target area. Please cite the sources of data.
- Briefly describe other sector programs in the same geographic area (e.g. Title II) where opportunities might be developed for synergies and/or complementarity of programs.
- Discuss the current health status of the population including under-five and maternal mortality rates, nutritional status and major causes of mortality and morbidity. (Discuss relevant data which support an intervention in TB or family planning, if applicable). Please cite sources of data.
- Applications which propose a family planning intervention, provide information on the status of commodities, logistical systems and supplies.
- Describe the current situation in the proposed site including the major opportunities and constraints to maternal and child health. This should include, but is not limited to, the following:
  - socioeconomic characteristics of the population (such as economy, religion, gender equity, ethnic groups, literacy, or other) that have an impact on health status.
  - current status of health care services in the site, including existing services (i.e. the PVO, other U.S. PVOs, the MOH, local NGOs, the private commercial sector, and traditional health providers), where people currently seek care, the current level of access, and barriers to access (e.g. cost for services, distance to facilities, and transportation) – particularly for disadvantaged groups.
  - provide relevant information on key household behaviors and care seeking practices. The applicant is **not** expected to have conducted a survey, but general knowledge of the local population should be evident.

- Briefly describe the background of the local partner organization(s) and/or groups with which the applicant will work.
- Describe the process used to involve all relevant stakeholders (e.g. MOH, community and local partners) in the selection of the site, interventions and strategies.
- In an ATTACHMENT, include a letter showing specific support for the proposed program from each of the cooperating governmental and/or other organizations with which the program will establish a formal relationship. Each letter must be dated within three months of the application submission.
- Describe how the program is consistent with USAID field mission's strategic objective and intermediate results for the proposed country.
- **For countries in transition/post-conflict phase**, include a discussion of specific factors related to the conflict that may affect child survival and maternal health or other health outcome as relevant. Specifically address the potential types of dangers the PVO is most likely to face in the proposed location.

❖ Guidance for the **Expanded Impact** Category **ONLY**, provide the following:

For applicants applying for the Expanded Impact Category, this section should provide a clear basis for the program which is being proposed. The PVO should respond to the following **as applicable**, but should also include other relevant information which supports the applicants' proposed intervention, methodology, etc.

- Discuss the current health status of the population including under-five and maternal mortality rates, nutritional status and/or major cause of mortality and morbidity which the proposed intervention, methodology, etc. will address. **If TB or family planning is being addressed, provide relevant data.** Please cite data sources.
- Applications which propose a family planning intervention, provide information on the status of commodities, logistical systems and supplies.
- Briefly describe the proposed intervention/strategy/methodology, beneficiaries targeted, etc. (Provide details under program strategy and interventions section).
- **If applicable** discuss the following:
  - General socioeconomic characteristics of the beneficiary population (such as economy, religion, gender equity, ethnic groups, literacy, or other) that have an impact on health status.
  - Current status of health care services relevant to the proposed strategy/intervention, including existing services (i.e. the PVO, other U.S. PVOs, the MOH, local NGOs, the private commercial sector, and traditional health providers), where people currently seek care, the current level of access, and barriers to access (e.g. cost for services) – particularly for disadvantaged groups.

- Behavioral characteristics of the target population with regard to health which may impact on the selected intervention, methodology, etc.
- Briefly describe other sector programs in the same geographic area or intervention area (e.g. Title II, National TB program, etc.) where opportunities might be developed for synergies and/or complementarity of programs.
- Briefly state the type and background of the partner organization(s) and/or groups with which the applicant organization will work and why they were selected.
- In an ATTACHMENT, include a letter showing specific support for the proposed program from each of the cooperating governmental and/or other organizations with which the program will establish a formal relationship. Each letter must be dated within three months of the application submission.
- Describe how the program is consistent with USAID field mission's strategic objective for the proposed country(ies).
- **For countries in transition/post-conflict phase**, include a discussion of specific factors related to the conflict that may affect child survival and maternal health or other health outcome as relevant. Specifically address the potential types of dangers the PVO is most likely to face in the proposed location.

#### 4. Program Strategy and Interventions

This section should provide a clear picture of proposed program and overall strategies, detail on the proposed technical interventions and approaches to implement those interventions, including training and how sustainability of those interventions will be addressed. It will be important to clearly define linkages with other programs and how complementarity and synergies among programs will be developed.

#### ❖ Guidance for **Entry, Mentoring, Cost Extension and Standard Categories ONLY:**

- Describe the overall program strategy, including the goal, objectives, and how the program will assist with achieving the CSHGP results.
- **For Cost Extensions**, discuss significant changes in approach/interventions from the original program and reasons for change.
- Describe the local partners' role in the implementation of the program and how their capacity will be strengthened to implement and sustain program activities after the end of the project.
- Discuss the relationship this program will have with other existing, or future health-related activities and/or health facilities in the proposed program area and country/region. Include those of the applicant PVO, other PVOs, USAID field missions, networks or associations of NGOs, local organizations, private commercial and traditional providers, and the government.

- Describe the selected child survival, maternal health, family planning, TB, etc. interventions. Briefly discuss the basis for their selection, and how the approaches used will foster change at the individual/family/community levels. Address issues of quality, access, behavior change, training, etc. under each intervention. Include ways to address gender inequalities.
- Applications with significant FP components, provide the strategy for ensuring an adequate supply and flow of FP commodities.
- Provide an explanation of, and justification for, any proposed intervention that differs from the MOH policy in the proposed country.
- Describe any integration of interventions that will be used. If the program strategy includes some aspects of IMCI (i.e. facility based, systems strengthening, and/or household/community IMCI), address these in the program. Discuss the status of IMCI adoption and implementation in the country and the program area.
- Describe the program's approach to behavior change for individuals, families, communities and/or health service providers, and others as appropriate. Include how capacity building/sustainability will be addressed at each level (including community health workers, traditional healers and birth attendants, mothers' groups, health policy advocacy, etc.).
- Discuss the program's training strategy. Include how training will be planned, carried out, and followed-up under each proposed intervention. Be sure to include training activities in the work plan.
- Discuss the PVO role in national planning and policy development, if any.
- Discuss major challenges to achieving PVO program objectives.
- **For countries in transition, or in a post-conflict phase**, briefly outline plans to prevent and mitigate conflict in program areas (e.g. do no harm framework) and describe plans to maintain the continuity of program interventions should conflict ensue.

❖ Guidance for the **Expanded Impact** Category **ONLY**:

- Describe the overall program strategy, including the goal, objectives, and how the program will assist in achieving the CSHGP results.
- Describe the intervention(s), methodologies, etc., why they were selected and the overall approach for implementation. Describe the specific activities under the intervention, methodologies and how scale-up and sustainability will be addressed.
- Applications with significant FP components, provide the strategy for ensuring an adequate supply and flow of FP commodities.
- **If applicable** describe the training and/or behavior change communication strategy that will support the implementation of the intervention.

- Discuss the relationship this program will have with other existing, or future health-related activities in the country(ies), including those of the applicant PVO, other PVOs, networks or associations of NGOs, private commercial providers and the government.
- Describe the local partners' role and responsibilities in the implementation of the program.
- If opportunities for synergies with another sector program have been identified and will be further explored, discuss how the programs will work together and benefit from each other.
- Discuss major challenges to achieving applicant program objectives.
- **For countries in transition, or in a post-conflict phase,** briefly outline plans to prevent and mitigate conflict in program areas (e.g. do no harm framework) and describe plans to maintain the continuity of program interventions should conflict ensue.

## 5. Organizational Development

This section describes how the applicant will use this grant to strengthen the institutional capacity of the PVO and its local partners as applicable. It should specify the expected areas in which this development will take place, the systems levels that will be built upon, and the level of expertise that each system identified is expected to attain. See the Technical Reference Materials in Annex C for information and resources on organizational development and capacity building. Also please note that a baseline and final assessment of the PVO and the local partner's organizational capacity is a requirement for funded programs.

### a. Strengthening the U.S. PVO

#### ❖ Guidance for Entry, Mentoring Categories **ONLY**:

- Identify specific organizational needs and problems to be addressed by the U.S. PVO. Reference any institutional assessments the organization may have already carried out.
- State the organizational development objectives for increasing the PVO's capacity under this Cooperative Agreement. Describe how the PVO will use this program to strengthen the capacity of the organization - including the level of the organization that will be affected (e.g. health unit at headquarters, the PVO local office staff, other programs of the PVO, the entire organization). Include the above-identified issues in the discussion.
- Explain how lessons learned from this program will be shared with other programs implemented by the PVO - and the international child survival community.
- Describe how the PVO intends to measure and/or document organizational change. This section may be cross-referenced with the Performance Monitoring and Evaluation Section. Discuss how the current capacity of the PVO will be assessed and provide indicators to measure progress towards objectives.

❖ Guidance for the **Cost Extension, Standard and Expanded Impact** Categories:

- If the applicant is proposing a TB and/or FP component, describe how capacity of the U.S. PVO headquarters and local field staff will be strengthened in this technical area.

**b. Strengthening the Local Partner**

❖ Guidance for **Entry, Mentoring** Categories **ONLY**:

- Although the Standard and Expanded Impact categories will have a stronger focus on strengthening the local partner, the applicants for the Entry and Mentoring categories should also identify a local partner as part of their application and define their role and responsibilities as well as ways the PVO applicant will assist in developing local partner capacity.

❖ Guidance for the **Cost Extension, Standard and Expanded Impact** Categories **ONLY**:

- Discuss the approach the program will take (including tools to be used), to build (or continue to build, for Cost Extensions) a strong relationship with the local partner, to jointly identify the broad areas of capacity to be built, and to assist the local partner in its organizational development. It is not necessary to provide specific objectives and indicators in the application – these may be discussed in the DIP, if the program is funded.
- Discuss any constraints to building the capacity of the local partner(s), and how these constraints might affect what can be reasonably achieved over the life of the project and sustainability of interventions.
- Discuss any plans to work with local networks/associations of NGOs/PVOs.
- As applicable, explain: how the community/sub-regional/regional structures created or reinforced (or components of) will continue to function by the end of the project; how end of project levels of beneficiary coverage will be maintained; and how increased technical abilities in the local partners will be maintained.

**6. Performance Monitoring and Evaluation**

❖ Guidance for **ALL** grant categories **as applicable**:

- Discuss how progress towards program objectives will be measured. Describe how current data on indicators will be collected, analyzed, and used for program management.

- Describe the types of baseline assessments, studies or surveys that will be carried out. Include baselines of PVO and local partner capacity, qualitative assessments, and population-based assessments.
- Discuss how the current capacity of the local partner(s) will be assessed.
- Describe the current data collection systems that already exist in the program area, how/if the program's data collection will complement or be different from the existing system, and how they will link to each other.
- Discuss operations research ideas that will be carried out in the program.
- A matrix or other graphic may be used to present the information which summarizes the proposed program's goal, results-based objective(s) and major activities. These should be the same as already discussed in the narrative of earlier sections. In addition, include indicator(s) for measuring the achievement of each objective. The matrix on the following page is a composite example drawing from what various PVOs have submitted in the past. If the applicant PVO has standardized a particular approach, such as a logical framework, or a results framework, please use the organization's preferred format.

*The graphic should provide the reader with a concise summary of the proposed program, what the program will hold itself accountable to achieve and how the program will measure these outcomes and impact.*

**Example of a Program Matrix to  
Display Program Goals and Objectives**

Goal: \_\_\_\_\_

OBJECTIVES	INDICATORS	MEASUREMENT METHODS	MAJOR PLANNED ACTIVITIES
* Objective 1	* indicator(s) * indicator * indicator	* measurement method(s)	* activity(ies) * activity
* Objective 2	* indicator * indicator	* measurement method	* activity * activity
* Objective 3	* indicator * indicator	* measurement method	* activity * activity

**Definitions**

**Goal:** A statement of the long-term aim of the project. While the complete fulfillment of a goal may not be possible or verifiable within the life-span of the project, the achievement of the project's more specific objectives should contribute to the realization of the goal.

**Objective:** A statement of what the program plans to achieve during the life of the project. This achievement is the highest level result that a program can materially effect with its efforts.

**Indicator:** An indicator specifies what is measured to determine whether the objective has been achieved. This includes both process and outcome.

**Targets:** A target is the planned value of the indicator at the end of the project. (e.g. 70% of children fully immunized by project end). In the above matrix, targets can be stated in the objective statement or in the indicators. Illustrative, end-of-program targets should be provided in the application. If the program is funded, targets can be adjusted in the DIP according to baseline survey results.

**Measurement**

**Method:** The measurement method identifies the source of the data for the indicators  
(e.g. initial and final KPC Survey).

**Planned**

**Activities:** Activities support the achievement of the objective. These include inputs, processes and outputs of the program.



## **7. Management Plan**

This section provides an overview of the management of the proposed program. Please highlight those areas of program management that were not discussed in other sections.

### **a. Organizational Structure**

#### ❖ Guidance for Entry and Mentoring Grant Categories :

- Discuss how the U.S. headquarters will ensure transfer of skills, information, technical assistance/updates, and lessons learned with the field program. Also discuss field to headquarters exchanges.

#### ❖ Guidance for **ALL** grant categories:

- Describe the proposed management structure for this program. Include the responsibilities of all principle organizations and staff involved, reporting relationships, authority, and lines of communication within and between each of these organizations.
- In an ATTACHMENT, please provide an organizational chart that clearly delineates the key personnel responsible for technically backstopping this program in the PVO U.S. headquarters office and managing this program in the in-country office. Describe how they fit into the overall organization, and the linkages between the headquarters, regional (if applicable), and field program personnel.

### **b. Human Resource Management**

#### ❖ Guidance for **ALL** grant categories:

- Provide a list of ALL persons who will contribute to achieving the results of the program. This may include, but is not limited to: PVO headquarters and field staff, local partner staff, MOH staff, community health workers, and private sector providers. For each type of worker provide: 1) the number of workers in that category, 2) organizational affiliation, 3) main responsibilities, 4) percent of effort devoted to project activities, and 5) entity responsible for remunerating the worker (e.g. the PVO, MOH, community, volunteer).
- Discuss how workers will be supervised, by whom, and how competency will be measured and improved – if not previously discussed in the Organizational Development Section.
- Discuss how the program staffing will ensure representation of all segments of the community.
- Provide in an ATTACHMENT resumes for the headquarters backstop and the field program manager (if already hired) and/or position descriptions.
- Discuss any foreseeable recruitment issues, such as difficulty in placing expatriate and national staff due to remoteness of program site, etc., and what will be done to overcome this constraint.
- Discuss the applicant PVO's technical assistance needs and how they will be met during the life of project.

### **c. Financial Management**

#### **❖ Guidance for ALL grant categories:**

- Discuss the roles and responsibilities of project staff vis-à-vis budgeting, monitoring, and reporting on the financial status of the project, to ensure accountability in the use of U.S. Government and matching funds.
- Explain how the program will track costs incurred, including costs for labor, equipment, supplies, and facilities, and how this information will be used by the project staff to build the capacity of the local partners to manage recurrent costs.

### **d. Contingency and Security Planning**

Natural and man-made disasters have affected every cohort of Child Survival and Health Grants for the last few years, during the development of the Detailed Implementation Plan. This is particularly important for those PVOs applying for programs in countries experiencing conflict and those transitioning from complex emergencies to long term, sustainable development. Briefly outline plans to prevent and mitigate the effects of security problems or other emergencies on the organization's staff and property to ensure the security and safety of program personnel.

#### **❖ Guidance for ALL grant categories as applicable:**

- Specifically address the potential types of dangers the PVO is most likely to face in the proposed locations and activities.
- Discuss arrangements to ensure the security and safety of program personnel.
- Outline the applicant PVO's security plans for safe sites, a warden system, movement and transport, intra-staff communication, status analysis and evacuation methods.
- Identify the person(s) responsible for leading the development, review and updating of the PVO's security plan. During program implementation, identify the staff positions (key and alternate) that will be responsible for security or crisis management at project headquarters and in each country program.
- Describe plans to maintain the continuity of program services should the threats or crises identified occur.

For more information on security issues, please refer to [http://www.usaid.gov/hum\\_response/ofda/files/pvoguide.pdf](http://www.usaid.gov/hum_response/ofda/files/pvoguide.pdf), page 55.

## **8. Project Work Plan**

*(NOT Included in the 30 page limit- provide as an Attachment)*

#### **Guidance for ALL categories:**

Please present a brief, but illustrative work plan for the life of the program. Ensure that it reflects the strategies and activities discussed

throughout the application including schedule for phasing interventions or sites.

- Include a more **detailed action plan** (calendar of results, objectives and essential activities) for the **first year** of the program, including approximate timing, and assigned responsibility. Be sure to include all training activities in the work plan.

#### IV. COST APPLICATION

##### 1. Budget Preparation and Submission Instructions

###### Standard Form 424 & 424A

Standard Form 424 is the standard form used by applicants as the required face sheet for applications submitted for Federal assistance. Standard Form 424A is the form used by applicants for presenting overall budget information. **These forms (424 & 424A), along with detailed instructions for completing them, are included in Annex E of this document.** Please pay careful attention to the budget instructions. There are specific criteria that must be met for this program, some of which may have been amended since the previous RFA. Failure to accurately complete these forms could result in a non-funded application.

The Standard Form 424A, Section A requests costs organized by headquarters and field, and by Federal and Non-Federal. This information should be the same as that presented in other sections. Federal refers to the funds requested from USAID and Non-Federal refers to funding from the applicant and other sources. The amounts for Federal and Non-Federal presented here should be the same as the Estimated Funding presented on Standard Form 424, 15.a and b, plus any entry for e. The total program amount on SF 424 should be the same amount presented in Section A and in Section B. For further information regarding use of Non-Federal funds, refer to the discussion of budget narrative and "cost-share" in this section of the RFA.

**Headquarters Costs** are *direct* costs incurred by the U.S.-based PVO head office in the United States in support of the child survival program overseas. This does not duplicate established indirect cost rates. USAID will support up to 15% of the direct costs of the USAID funds in the program budget for the PVO's U.S. headquarters' (or joint headquarters' in the applications for Mentoring) for support to the field program, and for improving child survival technical and operational capabilities of the PVO(s). This amount may be exceeded up to 20% of the proposed direct costs if the application clearly shows how any additional funds will improve the PVO's institutional capacity for child survival programming. USAID will support up to 20% of headquarters costs for Entry Programs. The headquarters budget should be directly related to the description of how the PVO builds and maintains technical and operational capacity. In addition to backstopping and site visits to the field program, types of activities that PVOs have included in the past are continuing education opportunities for staff, information exchange and technical networking among PVOs, reference materials, and observational visits to other field programs of the same PVO or other PVOs. All headquarters costs must be appropriately distributed in the correct amounts and contained within the correct categories of Standard Form 424A, Section B, as per the guidelines in Annex E.

**Field costs** should include all funds designated for expenditure within the host-country for carrying out the planned program. All field costs must be appropriately distributed in the correct amounts and contained within the

correct categories of Standard Form 424A, Section B, as per the guidelines in this RFA.

Standard Form 424A, Section B is divided into eleven "Object Class Categories". The Object Class Categories must be presented in two columns, "Federal", which are the costs being funded by the USAID portion of the overall program budget, and "Non-Federal", which are the costs covered by the PVO cost-share portion of the entire program budget. The entire program budget must be appropriately distributed and contained within these categories and columns. The categories include Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Construction, Other, Total Direct Charges, Indirect Charges, and Totals. The Construction category does not apply to this program. Program costs proposed for "training" and for "sub-grants" must be included in the "Other" Object Class Category. For further elaboration on each of the Object Class Categories, please refer to the instructions in Annex E. Annex E includes a sample Standard Form 424 and 424A.

**Cost Share** - An Applicant must contribute from its non-U.S. Government resources, at least 25% of the total cost of the proposed program.

#### **Detailed Budget and Budget Narrative**

The detailed budget and narrative should follow the SF 424 and 424A and should fully define and support the line item costs for both the Federally-funded (USAID) and Non-Federally funded (PVO cost-share) portions of the budget. Based on the calculations shown in the narrative, the Cognizant Technical Officer (CTO) and the Agreement Officer should be able to easily verify all costs for the proposed program. The costs proposed for "training" and "sub-grants" must be itemized in the explanation of the Object Class Categories within the budget narrative, so that they may be subsequently negotiated and included in the appropriate category of the Cooperative Agreement Budget.

All costs contained in the budget should accurately reflect the planned level of program activities in the program design. For example, the training budget should reflect the specific training activities to be undertaken by the program. If 20% of the program approach includes training, then the budget should reflect the detailed training costs for this level of activity. This same principle should be maintained throughout the budget when itemizing all field costs.

Applications for all program categories should include a detailed procurement plan containing explicit information on how procurements will be accomplished. Carefully read the guidance in 22 CFR 228. **GH/HIDN will NOT authorize the use of USAID funding for any restricted goods. GH/HIDN does NOT seek waivers for the purchase of non-U.S. motor vehicles, pharmaceuticals used equipment, seeds or pesticides. The applicant should consider funding such commodities** with the Non-Federal portion of the program budget.

The recipient is expected to comply with USAID Eligibility Rules for Goods and Services in the Standard Provisions, and 22 CFR Part 228, and use its cost-share for any goods and services that do not comply with these rules.

#### **V. Required Documentation**

Certain documents are required to be submitted by an applicant in order for a Grant Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. See Section B.I regarding page limits. Applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

**A. A copy of the program description as detailed in the applicants application, on a 3-1/2" diskette, formatted in Word97.**

B. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget should be submitted using Standard Form 424 and 424A included in this RFA (Annex E). **The budget and budget narrative shall also be included on the 3-1/2" diskette, formatted in Word97.**

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;

- the breakdown of all costs according to each partner organization involved in the program;

- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;

- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;

- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;

- your procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this Cooperative Agreement).

C. A current Negotiated Indirect Cost Rate Agreement;

D. Required certifications and representations (as attached):

E. Cost share has been recommended to be 25% of the total estimated amount. If the applicant proposes a cost share of less than 25%, it will be deemed as not responsive, and will be removed from further consideration. Applicants that provide higher amounts of cost share will be evaluated more favorably.

F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;

2. projected budget, cash flow and organizational chart;

3. A copy of the organization's accounting manual.

G. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.

2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.

3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.

4. Has a satisfactory record of integrity and business ethics; and

5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

H. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

I. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

J. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

K. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

L. Submission of Applications:

1. Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.

2. Telegraphic applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.

M. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed

by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets ; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

N. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

#### O. Grant Award:

1. The Government may award one or more Grants resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see also Section II of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section III, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

2. The Government may award one or more Grant(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

3. A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding Grant without further action by either party. Before the application's specified expiration time, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

4. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).

P. Authority to Obligate the Government - The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.



## SECTION C - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA.

### I. Eligibility Requirements

1. The PVO **must** meet the following two criteria (initial screening) in order for their proposal to be reviewed:
  - a) Be a U.S.-based PVO, currently registered with USAID at the time of application submission. Under the mentoring program, each PVO must be registered.
  - b) Receive at least 20% of its total annual financial support for its international programs from non-U.S. government sources.
2. **Organizational Requirements** or applicant requirements - To be eligible for funding under the Child Survival and Health Grants Program, an organization must:
  - a) Contribute, from its non-U.S. Government resources, at least 25% of the total cost of the proposed program.
  - b) Have at least five years experience implementing health related programs in a developing country.
  - c) Be operational in the country where the child survival and health program is proposed, which is documented by a signed agreement with the host government and included in the application. Previous health program experience in the target country is **not** required.
3. **Program Requirements** - Proposed programs must meet the following requirements to be considered for funding:
  - a) Be in an eligible country or countries. A program may include contiguous countries, or those for which there is a clear rationale for proposing a single program that is active in more than one country. The program must meet all the criteria in each country involved. See the list of Eligible Countries below.
  - b) Be consistent with USAID's country or regional-specific program priorities in the health sector; the application must document consultation with the USAID Mission in the early design phase of the program. Appropriate USAID offices with oversight for non-presence countries are included in Annex A. GH/HIDN solicits USAID Mission approval for proposed programs.
  - c) Be consistent with the national child survival and maternal health, and family planning policies in the targeted country.
  - d) Involve formal documented partnerships with a local government, non-governmental organization (NGO), community partner or other local organization. All applications must be prepared in collaboration with the program partners in the proposed site or country.

- e) Assign at least one public health professional at the PVO's U.S. headquarters to be responsible for Child Survival and Health Grants Program activities.
- f) Assign to the program, at the proposed field site, one full-time staff person with substantial experience in implementing community health or child survival programs.

# **ELIGIBLE COUNTRY LIST**

Under-5 Mortality Rate #	AFRICA	EUROPE and EURASIA	ASIA & NEAR EAST	LATIN AMERICA & THE CARIBBEAN
>100/1,000 live births	Angola 288.3 Niger 278.5 Sierra Leone 266.8 Mozambique 225.5 Mali 223.3 Malawi 219.5 Guinea 205.8 Rwanda 194.6 Burkina Faso 178.3 Burundi 175.8 Zambia 168.8 Uganda 163  Benin 159.9 Ethiopia 155.5 Congo 153.9 Nigeria 149.9 Cote d'Ivoire 144.7 Madagascar 137.1  Eritrea 130.1  Togo 128.8  Cameroon 128.4 Tanzania 127.5 South Africa 119.6 Kenya 110.1 Senegal 110 Ghana 103.6 Sudan	Tajikistan 136.2 Kyrgyzstan 102.5	Afghanistan 279.4 Laos 141.8 Pakistan 110.3 Nepal 109.8 Cambodia 107.8 East Timor	Haiti 155.1
70-100/ 1,000		Azerbaijan 95 Turkmenistan 92.4 Uzbekistan 89.4 Kazakhstan 70.6	Yemen 97.6 India 93.7 Mongolia 71.4	Bolivia 80 Guatemala 71.7
50-69/1,000		Georgia 59 Armenia 58.2 Albania 55	Morocco 63.4 Indonesia 54.7	Peru 54.4
<50/1,000		Moldova 49.6 Ukraine 25.8 Romania 24.1 Belarus 17.6	Vietnam 44.1 Philippines 43.4 Thailand** 41.9	Dominican Republic 44.3 Honduras 43.3 Nicaragua 42.6 El Salvador 36.6 Jamaica 23.5

Note: The numbers beside each country are the under five mortality rates, according to the US Bureau of the Census, International Database, 2000 updates.

\*\* Only refugee areas contiguous to the Burma border are eligible.

## II. Program Restrictions

- a) Child Survival and Health Grants Program funds may **NOT** be proposed for the following types of activities: income generation, or literacy training. GH/HIDN realizes these activities may be critical to achieving program objectives and would support these activities if funded under the PVO cost-share.
- b) USAID will **NOT** review applications for programs for which the main purpose is: research; equipping hospitals, orphanages or other residential facilities; curative care in hospitals; surgical procedures and prosthetics; construction; manufacturing of pharmaceuticals, bednets, or other health aids; evacuation of children to the U.S. for medical treatment; emergency relief activities; or adoptions. These activities are beyond the scope of the Child Survival and Health Grants Program.
- b) All successful applications which incorporate family planning (as opposed to child spacing in the context of an integrated child survival program) will receive FP/RH funds which are subject to USAID legislative and policy requirements as set forth in the Standard Grant Provisions for USAID family planning activities. However, because one of these policy requirements, the Mexico City Policy, is not yet included in the Standard Provisions, please see the following link for information on this requirement. **This website should be reviewed and requirements considered before submitting application:**  
  
([http://www.usaid.gov/procurement\\_bus\\_opp/procurement/cib/cib0108r.pdt](http://www.usaid.gov/procurement_bus_opp/procurement/cib/cib0108r.pdt))
- c) GH/HIDN will **NOT** review applications that are otherwise beyond the scope of the Child Survival and Health Grants Program as determined by USAID.

In addition to the above Program Restrictions, the following **limitations** may apply:

- a) A PVO may be a recipient of no more than **six** ongoing child survival programs at any one time. For example, if a PVO has seven current programs, two of which end by 9/30/2003, it may submit several applications, but is eligible for only one new award. The exception are those PVOs which serve as "mentors" under the Mentoring Category; are submitting for the Expanded Impact Category (PVO with six ongoing programs may apply and receive **one** grant under this "new" grants category); and PVOs that are submitting a proposal which is 100% focused on tuberculosis.
- b) GH/HIDN will review **no more than three (3)** applications from any one PVO.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. **The cost application of all applicants submitting a technically acceptable application will be evaluated by the Agreement Officer for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), cost negotiations will then be conducted with all applicants whose application, after technical review and evaluation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.**

## III. Technical Evaluation Criteria

Applicants should note that these criteria serve to: (a) identify the significant issues which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria. Awards will be recommended based on the ranking of proposals according to the technical selection criteria. Close adherence to the criteria is necessary but does not guarantee a successful review.

Evaluation Criteria	Max. Points for Program Type			
	Entry	Mentoring	Standard/ Cost Ext.	Expanded
<b>Budget Information</b> - SF 424, detailed budget and budget narrative completed. - USAID and cost-share funds, HQ & field costs are realistic. - Program activities are adequately budgeted. - Clear, concise budget narrative				
<b>Budget Total</b>	5	5	3	3
<b>Executive Summary and Overall Application</b> - A clear, comprehensive overview of the proposed program.				
<b>Executive Summary Total</b>	5	5	5	5
<b>Description of the PVO Applicant</b> <b>For ALL grant categories except Cost Extension:</b> - Organization's purpose, mission, major sectors clearly presented- and congruent with proposed program. - Demonstrated past performance in technical/program areas. <b>For Standard and Expanded Impact:</b> - Discussion of experience in scaling up programs, building partnerships and transferring technical and management skills in local organizations. <b>For Cost Extension:</b> - Demonstrated results under original program and Evidence that Mid-term evaluation recommendations Are being addressed.				
<b>PVO Applicant Total</b>	10	10	5	5
<b>Situational Analysis</b> <b>For ALL grant categories:</b> - Clear and comprehensive assessment of the relevant health status of the selected population, existing services, key household and care-seeking behaviors, socioeconomic status and other parameters (constraints and opportunities) which support the selection of the proposed interventions. - Brief description of other programs (PVOs, other organizations, USAID field mission programs, etc.) and opportunities for synergies and/or complementarity of program interventions/strategies. - USAID field mission strategic objectives and relevant intermediate results provided and how the PVO program objectives support those objectives/results. - Relevant stakeholders appropriately involved in the selection of site, interventions and/or strategies and methodologies that will be scaled up. Letters of collaboration and endorsement included				
<b>Situational Analysis Total</b>	15	15	20	20
<b>Program Strategy and Interventions</b> <b>As applicable for ALL grant categories:</b> - Clear, realistic, goals and objectives. Strategies and interventions are sound and will achieve results. - Strategies address opportunities/constraints and demonstrate knowledge population. - Description of how the program will relate to other health activities in the program area. - Essential elements of each intervention are addressed (quality, access, behavior change, training, etc). - Role of local partners clearly described. - Program approach is consistent with MOH policies, or MOH agrees to PVO approach. - Approach to program integration is clearly described. <b>For Expanded Impact:</b> Issue of sustainability, scale-up fully addressed and realistic to the situation.				
<b>Program Strategy and Interventions Total</b>	15	15	22	22

Evaluation Criteria	Max. Points for Program Type			
	Entry	Mentoring	Standard/ Cost Est.	Expanded
<b><u>Organizational Development</u></b> <b>For Entry, Mentoring categories:</b> <ul style="list-style-type: none"> <li>- Objectives and strategies for building PVO and local partner capacity clearly described.</li> <li>- Clear plan for sharing lessons learned from this program within PVO.</li> </ul> <b>For Standard, Cost Extension and Expanded Impact categories:</b> <ul style="list-style-type: none"> <li>- Approach to local organizational development and forming partnership with local partner is clearly articulated and appropriate.</li> <li>- Sustainability through capacity building clearly articulated.</li> </ul>				
<b>Organizational Development Total</b>	<b>15</b>	<b>15</b>	<b>10</b>	<b>10</b>
<b><u>Performance Monitoring and Evaluation</u></b> <b>For ALL grant categories:</b> <ul style="list-style-type: none"> <li>- Process to gather, analyze, and use data in management of project is clearly articulated and realistic.</li> <li>- Planned baseline studies are clearly outlined, budgeted for, and appropriate.</li> <li>- How program data collection will relate to MOH (or other existing) system is clearly described and the two complement each other.</li> <li>- Indicators match program objectives, and define what will be measured to evaluate achievements.</li> <li>- Indicators to measure objectives are consistent with globally and/or nationally accepted standards.</li> <li>-</li> </ul>				
<b>Performance Monitoring and Evaluation Total</b>	<b>15</b>	<b>15</b>	<b>15</b>	<b>15</b>
<b><u>Management Plan</u></b> <b>For ALL grant categories:</b> <ul style="list-style-type: none"> <li>- Clear organizational, human resource and financial management structures in place.</li> <li>- Roles and responsibilities are clear.</li> <li>- Sufficient and appropriate human resources are devoted to the program.</li> <li>- Sufficient backstopping from headquarters.</li> <li>- Contingency/Security Planning clearly defined.</li> <li>- Areas of technical assistance are identified and appropriate.</li> <li>- Work plan is sufficiently detailed.</li> </ul>				
<b>Management Plan Total</b>	<b>15</b>	<b>15</b>	<b>15</b>	<b>15</b>
Collaboration with USAID Field Missions: Letter of support, congruence with Mission Strategic objective/results, other evidence of "active" participation.				
<b>Collaboration with USAID Field Missions Total</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>5</b>
<b>GRAND TOTAL</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

## **SECTION D**

### **U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**

#### **CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]**

#### **PART I - CERTIFICATIONS AND ASSURANCES**

##### **1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal



financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

## 2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

### (a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

### (b) Certification Regarding Drug-Free Workplace Requirements

#### Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace ;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace ;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and

2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

---

---

---

---

#### Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

#### 3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

##### (a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of

the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### 5. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

#### 6. CERTIFICATION OF RECIPIENT

The recipient certifies that it has reviewed and is familiar with the proposed grant format and the regulations applicable thereto, and that it agrees to comply with all such regulations, except as noted below (use a continuation page as necessary):

---

---

---

---

---

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

[1] FORMATS: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex E1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

## PART II - OTHER STATEMENTS OF RECIPIENT

### 1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

No.	Name	Title	Telephone No.	Facsimile
-----	------	-------	---------------	-----------

---

---

---

### 2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: \_\_\_\_\_

### 3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to

locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: \_\_\_\_\_

#### 4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: \_\_\_\_\_

#### 5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$\_\_\_\_\_

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION(Generic) COST	QUANTITY	ESTIMATED UNIT
-----------------------------------	----------	----------------

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity



whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	GOODS	PROBABLE
GOODS	PROBABLE			
(Generic)		UNIT COST	COMPONENTS	SOURCE
COMPONENTS	ORIGIN			

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	PROBABLE	PROBABLE	INTENDED
USE					
(Generic)		UNIT COST	SOURCE	ORIGIN	

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	PROBABLE	SLUPPIER
NATIONALITY	RATIONALE			
(Generic)		UNIT COST	(Non-US Only)	
for NON-US				

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION(Generic) DISPOSITION	QUANTITY	ESTIMATED UNIT COST	PROPOSED
--	----------	---------------------	----------

## 6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

## 7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of \_\_\_\_\_ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

## 8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

## 9. CERTIFICATE OF COMPLIANCE

Include the self-certifications pertaining to compliance with applicable Federal and USAID-accepted policies for personnel, travel, and procurement systems. If the Recipient Certificate of Compliance has been completed for other USAID grants, it is not necessary to resubmit - instead, include a copy of a previous Recipient Certificate of Compliance in the application. A previous copy of the USAID Certifications, Assurances and Other Statements of Applicant/Grantee may be included in the application if it has been completed within one year of the due date for this application. If not, then it must be updated and attached. If the applicant has not yet completed these certifications, a self-certification package may be obtained from:

Mr. Steve Tashjian, Branch Chief  
USAID/M/OP/PS/OCC  
Ronald Reagan Building, Room 7.08-061  
1300 Pennsylvania Ave., NW  
Washington, D.C., 20523-7802

Phone: 202-712-5321  
FAX: 202-216-3395

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY  
AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a

participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

**KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES  
AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

**PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG  
TRAFFICKING**

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex E1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

## ANNEX A

### USAID MISSION CONTACTS LIST / ADDRESSES

(In Alphabetical Order by Country)

Country	Contact Person	Official Address	Commercial Courier
Afghanistan	Elizabeth Kvitashvili	6180 Kabul Place Dulles, VA 20189-6180	C/O US Embassy Sadak-e Maidan-e Havaii Kabul, Afghanistan
Albania	Pamela Wyville-Staples, Project officer	DOS/USAID 9510 Tirana Place Washington, DC 20521-9510	USAID/American Embassy 103 Rruga e Elbasanit Tirana, Albania Tel: 355-42-247289 Ext. 1570
Angola	Dr. Jeff Ashley, Supervisor of General Development  Dr. Alex Saul, PVO Liaison Officers	DOS/USAID 2550 Luanda Place Washington, DC 20521-2550	USAID/Angola Rua Kwame Nkrumah, 31 Luanda, Angola Tel: 244-2-399-518/19/20
Armenia	Edna Jones, Health Advisor	DOS/USAID 7020 Yerevan Place Washington, DC 20521-7020	USAID/Yerevan #18 Baghramian Street Yerevan, Armenia, 375019 Tel: 7-3742-151-955
Azerbaijan	Catherine Fischer, Technical Officer  Valerie Ibaan, PVO Liaison Officer	DOS/USAID 7060 Tbilisi Place Washington, DC 20521-7060	USAID/Caucasus/Tbilisi 20 Telavi Street, 5 <sup>th</sup> Floor Tbilisi, 380036, Rep. Of Georgia Tel: (995-32) 778-540
Belarus	Olena Radziyevska, Senior Health Specialist	USAID/Kyiv American Embassy Unit # 3914 APO AA 34032	USAID/Kyiv Nyzhny Val 19 Kyiv, Ukraine Tel: 380-44-462-5678
Benin	Alicia Dinerstein, HPN Officer  Charles Ogouchi, Family Health Team	DOS/USAID 2120 Cotonou Place Washington, DC 20521-2120	USAID/Cotonou Rue Caporal Anani Bernard B.P. 2120 Cotonou, Benin Tel: 229-30-0500
Bolivia	Charles Oliver, HPN & PVO Liaison Officer  Dr. Stanley Blanco, HPN	American Embassy USAID/La Paz Unit #3914 APO AA 34032	USAID/Bolivia 109 Calles No. 9 Obrajes La Paz, Bolivia Tel: 591-2-786-544 Ext. 3308
Burkina Faso (WARP)		DOS/USAID, 2050 Bamako Place Washington, DC 20521-2050	Immeuble Dotembougou Rue Raymond Pioncarre & Rue 319 Quartier du Fleuve Bamako, Mali Tel: 223-23-68-28 Fax: 223-22-39-33
Burundi	Barbara Cashion, Activity Manager  Flynn Fuller, Director	REDSO/EA (Nairobi) Until 64102 APO AE 09831-4102	Kasarani Road Nairobi, Africa Tel: 254-2-862-400,402 Fax: 254-2-860-949,870,562

<b>Country</b>	<b>Contact Person</b>	<b>Official Address</b>	<b>Commercial Courier</b>
Cambodia	Mark White, Chief Ngudup Paljor, MCH Advisor	American Embassy USAID/Phnom Penh Box P APO AP 96546	USAID/Cambodia No. 18 Mongkul Eam Street #228 Phnom Penh, Cambodia Tel: 855-23-427-640
Cameroon (WARP)		DOS/USAID, 2050 Bamako Place Washington, DC 20521-2050	Immeuble Dotembougou Rue Raymond Pioncarre & Rue 319 Quartier du Fleuve Bamako, Mali Tel: 223-23-68-28 Fax: 223-22-39-33
Congo, Democratic Republic of	Reggie Hawkins, PHN Officer Lina Piripiri, CSD Program Specialist	USAID/Kinshasa Unit 31550 APO AE 09828	198 Isiro Avenue Kinshasa/Gombe Tel: 243-12-21533 Fax: 243-88-03274
Cote d'Ivoire (WARP)		DOS/USAID, 2050 Bamako Place Washington, DC 20521-2050	Immeuble Dotembougou Rue Raymond Pioncarre & Rue 319 Quartier du Fleuve Bamako, Mali Tel: 223-23-68-28 Fax: 223-22-39-33
Dominican Republic	Kelva Perez, CS Technical Officer Henry Welhous, PVO Liaison	USAID/Santo Domingo Unit #5541 APO AA 34041-5541	American Embassy USAID/Santo Domingo Leopoldo Navarro 12 Santo Domingo Dominican Republic Tel: 809-731-7018
El Salvador	Silvia Gonzalez, PVO Liaison Officer Margarita de Lobo, Technical Officer	USAID/San Salvador Unit # 3110 APO AA 34023	USAID/El Salvador Urbanizacion Y Blvd Santa Elena Antiquo Cuscatlan, La Libertad, El Salvador Tel: 503-2-981-666
East Timor	Bob Dakan, Technical Officer	American Embassy/USAID Box #4 APO AP 96520	USAID/Indonesia C/o American Embassy Jl. Medan Merdeka Selatan 3-5 Jakarta 10110, Indonesia 62-21-344-2211
Eritrea	Linda Lou Kelly, Mission Technical Officer	DOS/USAID 7170 Asmara Place Washington, DC 20521-7170	USAID/Asmara 34 Zera Yacob St. Asmara, Eritrea Tel: 291-1-122-133 Fax: 291-1-123093
Ethiopia	Kassahun Abate Belay, HPN	DOS/USAID 2030 Addis Ababa Place Washington, DC 20521-2030	USAID/Ethiopia Riverside Building Asmara Rd & Bole (Olympia) PO Box 1014 Addis Ababa, Ethiopia Tel: 251-1-510-716
Republic of Georgia	Catherine Fischer, Regional Health Advisor	DOS/USAID 7060 Tbilisi Place Washington, DC 20521-7060	USAID/Caucasus/Tbilisi Fifth Floor, 20 Telavi Street Tbilisi 380036, Republic of Georgia Tel: 995-32-778-540



Country	Contact Person	Official Address	Commercial Courier
Ghana	Dr. Jan Paehler, CS Advisor  Ursula Nadolny, HPNO Office Chief	DOS/USAID 2020 Accra Place Washington, DC 20521-2020	USAID/Ghana E45/3 Independence Ave. Accra, Ghana Tel: 233-21-225-087/228-467
Guatemala	Ed Scholl, Technical Officer/PVO Liaison	USAID/Guatemala American Embassy Unit #3323 APO AA 34024	USAID/Guatemala 1 Calle 7-66, Zone 9 01009 Guatemala Guatemala, C.A. Tel: 502-332-0202
Guinea	Neil Woodruff, Technical Officer  Kathy Jacquart, Reproductive Health Advisor  Mariam Bah	DOS/USAID 2110 Conakry Place Washington, DC 20521-2110	USAID/Guinea Camayenne Corniche Nord Quartier Cameroun Conakry, Guinea Tel: 224-41-2163
Haiti	Yves Marie Bernard, Technical and PVO Liaison Officer	DOS/USAID 3400 Port-au-Prince Place Washington, DC 20521-3400	USAID/Haiti #17 Harry Truman Blvd. Port-au-Prince, Haiti Tel: 509-229-3034
Honduras	Meri Sinnitt, Chief Office of PHN Honduras  Doug Ball, Program Officer	USAID/Tegucigalpa Unit # 2927 APO AA 34022	USAID/Honduras Avenida La Paz Frente Embajada Americana Tegucigalpa D.C., Honduras Tel: 504-36-9320
India	O. Massee Bateman, Sr. Advisor in Child Health  Samaresh Sengupta, PVO Liaison Officer	DOS/USAID 9000 New Delhi Place Washington, DC 20521-9000	USAID/American Embassy Shantipath, Chanakyapuri New Delhi 110-021, India Tel: 91-11-611-3033
Indonesia	Sri Durjati Boedihardjo, PVO Liaison  Lynn Adrian, Jonathan Ross	American Embassy/USAID Box #4 APO AP 96520	USAID/Indonesia C/o American Embassy Jl. Medan Merdeka Selatan 3-5 Jakarta 10110, Indonesia 62-21-344-2211
Jamicia	Jennifer Knight-Johnson, Program Management Specialist	USAID/Jamaica Department of State Washington D.C. 20521-3210	USAID/Jamaica Local Addresses: United States Agency for International Development 2 Haining Road Kingston 5 Jamaica, W.I. Tel: (876) 926 3645/9 Fax: (876) 929 9944
Kazakhstan	Jennifer Adams, Mission Technical Officer and PVO Liaison Officer	DOS/USAID 7030 Almaty Place Washington, DC 20521-7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty, Kazakhstan Tel: 7-3272-507612
Kenya	Dana Vogel, Chief PHN  Victor Masbayi, PVO Liaison Officer	USAID/Nairobi Unit # 64102 APO AE 09831-4102	USAID Towers – RFMC P.O. Box 30261 N. Kenya The Crescent, Parklands Nairobi, Kenya Tel: 254-2-862400 Ext. 2818

Country	Contact Person	Official Address	Commercial Courier
Kyrgyzstan	Jennifer Adams, Mission Technical Officer and PVO Liaison Officer	DOS/USAID 7030 Almaty Place Washington, DC 20521-7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty, Kazakhstan Tel: 7-3272-506636
Laos	Mark White, Chief  Ngudup Paljor, MCH Advisor	American Embassy USAID/Phnom Penh Box P APO AP 96546	USAID/Cambodia No. 18 Mongkul Eam Street #228 Phnom Penh, Cambodia Tel: 855-23-427-640
Madagascar	Wendy Benazerga  Benjamin Andriamantsoa	DOS/USAID 2040 Antananarivo Place Washington, DC 20521-2040	USAID/Madagascar Immeuble Vonisoa III Avenue Docteur Ravohangy Anosy, Antananarivo 101 Madagascar Tel: 261-2-254-89
Malawi	Mexon Nyirongo, Technical Officer	DOS/USAID 2280 Lilongwe Place Washington, DC 20521-2280	USAID/Lilongwe NICO House, 1st Floor Lilongwe 3, Malawi Tel: 265-782-455
Mali	Ann Hirschey, Health Development Officer  Sixte Zigirumugabe	DOS/USAID 2050 Bamako Place Washington, DC 20521-2050	USAID/Mali Immeuble Dotemougou Rue Raymond Poincarre & Rue 319 Quartier du Fleuve Bamako, Mali Tel: 223-223-602
Moldova	Olena Radziyevska, Senior Health Specialist	USAID/Kyiv American Embassy Unit # 3914 APO AA 34032	USAID/Kyiv Nyzhny Val 19 Kyiv, Ukraine Tel: 380-44-462-5678
Mongolia	Jonathan Addleton, Mission Director	USAID/Ulaanbaatar PSC 461 FPO, AP 96521-0002	
Morocco	Susan Wright, Technical Advisor/PVO Liaison Officer  Dan Gowen, Program Officer  Zhora Lhaloui	American Embassy USAID/Rabat PSC 74 Box 022 APO AE 09718-5000	USAID/Morocco 137 Avenue Allal ben Abdallah Rabat, Morocco Tel: 212-776-2265
Mozambique	Okey C. Nwanyanwu, Chief HPN Officer	DOS/USAID 2310 Maputo Place Washington, DC 20521-2310	USAID/Mozambique 107 Rua Faria de Sousa-Caixa Postal 783 Maputo, Mozambique Tel: 258-1-490-726
Nepal	Dharmphal Raman	DOS/USAID 6190 Kathmandu Washington, DC 20521-6190	USAID/Nepal Kalamati Durbar Rabi Bhawan Kathmandu, Nepal Tel: 977-1-270-144/271-703
Nicaragua	Alonzo Wind Health Development Officer	American Embassy USAID/Managua Unit #2712, Box #9 APO AA 34021	USAID/Nicaragua C/o American Embassy Pista Sub-urbano De Los Semaforos de la Centro

Country	Contact Person	Official Address	Commercial Courier
			America dos Cuadras Abajo Frente de Syscom Managua, Nicaragua Tel: 505-2-670-502
Niger	Aboubacar Kossomi, Mission Technical Officer	DOS/USAID, 2050 Bamako Place Washington, DC 20521-2050	mmeuble Dotembougou Rue Raymond Pioncarre & Rue 319 Quartier du Fleuve Bamako, Mali Tel: 223-23-68-28 Fax: 223-22-39-33
Nigeria	Lynn Gorton, Supervisor General Development	DOS/USAID 8320 Abuja Place Washington, DC 20521-8320	USAID/Nigeris Metro Plaza, 3 <sup>rd</sup> Floor Plot 992, Zakaria Maimalari St. Central Business District PMB 519, Garki Abuja, Nigeria Tel: 227-72-26-61/64 Ext 4027 Fax: 227-73-51-36
Pakistan	Mark Ward, Mission Director	6180 Kabul Place Dulles, VA 20189-6180	USAID/Islamabad P.O. Box 1048 Unit #62200 APO AE 09812-2200 Islamabad, Pakistan
Peru	Dr. Luis Seminario, Technical Officer, HPN Office	USAID/Lima American Embassy/USAID Unit #3760 APO AA 34031	USAID/Lima Av. Arequipa 351 Lima 1, Peru Tel: 511-433-3200/433-0555
Philippines	Dr. Wes Dulawan, PVO Liaison	USAID/Manila FPO AP 96515	USAID/Philippines Ramon Magsaysay Building 1680 Roxas Blvd, Malate 1004 Manila, Philippines Tel: 63-2-522-9900
Romania	Susan Monaghan, Senior Health Advisor  Dr. Gabriela Paleru, Health Specialist	DOS/USAID 5260 Bucharest Pl. Wash., D.C. 20521-5260	USAID/Romania Natiunilor Unite, 1 Bucharest, Romania Tel: [40] (1) 335-5805 Fax: [40] (1) 337-2683
Rwanda	Beth Drabant, Technical Officer	DOS/USAID 2210 Kigali Place Washington, DC 20521-2210	USAID/Rwanda Avenue Pail VI B.P. 2848 Kigali, Rwanda Tel: 5601-2-3-2126/2127/2128
Senegal	Dr. Matar Camara, CS Specialist  Mamadou Kane, PVO Liaison Officer	DOS/USAID 2130 Dakar Place Washington, DC 20521-2130	USAID/Senegal c/o American Embassy B.P. 49, Avenue Jean XXIII AND Rue Kleber Dakar, Senegal Tel: 221-21-869-61-70
Sierra Leone	Kathy Jacquart, Reproductive Health Advisor	DOS/USAID 2110 Conakry Place Washington, DC 20521-2110	USAID/Guinea Camayenne Corniche Nord Quartier Cameroun Conakry, Guinea28 Tel: 224-41-2163

Country	Contact Person	Official Address	Commercial Courier
South Africa	Anita Sampon, Technical Officer Allan Hackler, PVO Liasion	DOS/USAID 9300 Pretoria Place Washington, DC 20521-2140	524 Church Street Sancardia Bldg. 9 <sup>th</sup> Floor Arcadia, Pretoria Tel: 27-12-323-8869, 342-1048 Fax: 27-12-323-6443
Sudan	Paul McDermott, Developmet Officer  Leslie Perry, Supervisor of Health and Development  Ted Maly  James Walsh Sudan Development Program Manager	REDSO/EA (Nairobi) Until 64102 APO AE 09831-4102	Kasarani Road Nairobi, Africa Tel: 254-2-862-400,402 Fax: 254-2-860-949,870,562
Tajikistan	Jennifer Adams, Mission Technical Officer and PVO Liaison Officer	DOS/USAID 7090 Dushanbe Place Washington, DC 20521-7090	USAID/Dushanbe c/o American Embassy 105 105 Khiabon-e Rudaki, Apts. 2,3 734001 Dushanbe, Tajikistan Tel: 3772-21-03-56
Tanzania	Vicky Chuwa, Project Mgt. Specialist	DOS/USAID 2140 Dar es Salaam Place Washington, DC 20521-2140	USAID/Tanzania 50 Mirambo Bldg. 2 <sup>nd</sup> Floor Mirambo Street Dar es Salaam, Tanzania East Africa United Republic of Tanzania Tel: 255-22-211-7537 FAX: 022-2-11-6559
Thailand  (Burma Border Area)	Mark White, Chief  Ngudup Paljor, MCH Advisor	American Embassy USAID/Phnom Penh Box P APO AP 96546	USAID/Cambodia No. 18 Mongkul Eam Street #228 Phnom Penh, Cambodia Tel: 855-23-427-640
Togo  (WARP)		DOS/USAID, 2050 Bamako Place Washington, DC 20521-2050	Immeuble Dotembougou Rue Raymond Pioncarre & Rue 319 Quartier du Fleuve Bamako, Mali Tel: 223-23-68-28 Fax: 223-22-39-33
Turkmenistan	Jennifer Adams, Mission Technical Officer and PVO Liaison Officer	DOS/USAID 7030 Almaty Place Washington, DC 20521-7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty, Kazakstan Tel: 7-3272-507612 or 507617

Country	Contact Person	Official Address	Commercial Courier
Uganda	Anne Fleuret, PVO Liaison	DOS/USAID 2190 Kampala Place Washington, DC 20521-2190	c/o American Embassy P.O. Box 7856 42 Nakasero Road Kampala, Uganda Tel: 341521/235879/342896 Ext. 210
Ukraine	Olena Radziyevska, Senior Health Specialist	USAID/Kyiv American Embassy Unit # 3914 APO AA 34032	USAID/Kyiv Nyzhny Val 19 Kyiv, Ukraine Tel: 380-44-462-5678
Uzbekistan	Jennifer Adams, Mission Technical Officer and PVO Liaison Officer	DOS/USAID 7030 Almaty Place Washington, DC 20521-7030	USAID/Almaty c/o American Embassy 97A Furmanov Street 480091 Almaty, Kazakstan Tel: 7-3272-506636
Vietnam	Mark White, Chief  Ngudup Paljor, MCH Advisor	DOS/USAID 4500 Hanoi Pl., Dept. of State, Washington, DC 20521-4500	7 Lang Ha Road Ba Dinh District Hanoi, Vietnam Tel [84] (4) 772-1500 EXEC Fax 772-2615
Yemen	Fawzia Yousseff, CS Technical Officer  Dr. Ahmed Attieg	USAID/Sanaa Dept. of State Washington, DC 20521-6330	USAID/Yemen c/o American Embassy Sa'awan Street, Himyar Zone Sana'a, Republic of Yemen Tel: 967-1-238-843
Zambia	Stephen Hodgins, Technical Advisor for Child Health, Nutrition and Malaria  Robert Clay, PHN Director	DOS/USAID 2310 Lusaka Place Washington, DC 20521-2310	USAIDZambia 351 Independence Ave. Lusaka, Zambia Tel: 260-1-254-303 Fax: 967-1-238-843

## **ANNEX B**

### **2002 CHS GUIDANCE**

[www.usaid.gov/pophealth/home/TechAreas/policies.html](http://www.usaid.gov/pophealth/home/TechAreas/policies.html)

## **ANNEX C**

### **TECHNICAL REFERENCE MATERIALS**

[http://usaid.gov/hum\\_response/pvc/child.html](http://usaid.gov/hum_response/pvc/child.html)

## ANNEX D

### PROGRAM RECIPIENTS

---

ADRA	-	Adventist Development and Relief Agency
AFRICARE	-	Africare, Inc.
AKF	-	Aga Khan Foundation
CARE	-	Cooperative for Assistance and Relief
Everywhere		
CCF	-	Christian Children's Fund, Inc.
CRS	-	Catholic Relief Services
CWI	-	Concern Worldwide (U.S.), Inc.
CII (FSP)	-	Counterpart International, Inc
CURAMERICAS	-	Curamericas (formerly Andean Rural Health
Care)		
ESPERANCA	-	Esperanca, Inc.
FOCAS	-	Foundation of Compassionate American
Samaritans		
HAI	-	Health Alliance International
HKI	-	Helen Keller Worldwide
HOPE	-	Project HOPE (The People-to-People Health
Foundation)		
IEF	-	International Eye Foundation
IRC	-	International Rescue Committee
MAP	-	MAP International
MCI	-	Mercy Corps International
MCDI	-	Medical Care Development International
MIHV	-	Minnesota International Health Volunteers
PATH	-	Program for Appropriate Technology in Health
PCI	-	Project Concern International
PFD	-	Partners For Development
PLAN	-	PLAN International USA, Inc (Childreach)
PSBI	-	The Pearl S. Buck International, Inc
PSI	-	Population Services International
SAWSO	-	The Salvation Army World Service Office
SC	-	Save the Children Federation, Inc.
WRC	-	World Relief Corporation
WVRD	-	World Vision Relief and Development



**ANNEX E**

**BUDGET FORMS AND INSTRUCTIONS**

# Standard Form 424

## APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION:		2. DATE SUBMITTED	Applicant Identifier NA
Application ____ Construction _X_ Non-Construction	Reapplication NA ____ Construction ____ Non-Construction	3. DATE RECEIVED BY STATE NA	State Application Identifier NA
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier NA
5. APPLICATION INFORMATION			
Legal Name:		Organizational Unit	
Address (give only county, state, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN):		7. TYPE OF APPLICATION: (enter appropriate letter in box)..... M	
8. TYPE OF APPLICATION _X_ New ____ Continuation ____ Revision If Revision, enter appropriate letter(s) in box(es)..... A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify):		A. State B. County C. Municipal D. Township E. Interstate F. Inter-municipal G. Special Dist. H. Independent School Dist I. State Controlled Institution of Higher Learning J. Indian Tribe K. Individual L. Profit Organization M. Other (specify)	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: NA TITLE:		9. NAME OF FEDERAL AGENCY USAID/BHR/PVC	
12. AREAS AFFECTED (Cities, Counties, States, etc.):		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
START DATE	END DATE	a. Applicant NA	b. Project NA
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$	a. YES, THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON:  DATE  B. NO. _X_ PROGRAM IS NOT COVERED BY E.O. 12372 _X_ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b Applicant	\$		
c. State	\$ NA		
d. Local	\$ NA		
e. Other	\$		
f. Program Income	\$		
g. TOTAL	\$		
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? ____ Yes If "Yes", attach an explanation ____ No			
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

## INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget.

Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

13. Self-explanatory.

Item:

Entry:

1. Self-explanatory.

2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).

3. State use only (if applicable).

4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.

5. Legal name of applicant, name of primary organizational unit, which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application.

6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.

7. Enter the appropriate letter in the space provided.

8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- "New" means a new assistance award.

- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.

- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

9. Name of Federal agency from which assistance is being requested with this application.

10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.

14. List the applicant's Congressional District and any District(s) affected by the program or project.

15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State inter government review process.

17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.

18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

**SF 424 Back (Rev. 4-92)**

Item:

Entry:

11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

12. List only the largest political entities affected (e.g., State, counties, cities).

## ANNEX E

## Standard Form 424A

## Budget Information - Non-Construction Programs

## SECTION A - BUDGET SUMMARY

Grant Program Function Or Activity {a}	Catalog of Federal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Re	
		Federal {c}	Non-Federal {d}	Federal {e}	Non-
1. Headquarters	\$ NA	\$ NA	\$ NA	\$	\$
2. Field	NA	NA	NA		
3. NA	NA	NA	NA	NA	
4. NA	NA	NA	NA	NA	
5.TOTALS	\$ NA	\$ NA	\$ NA	\$	\$

## D. SECTION B - BUDGET CATEGORIES

6. Object Class Categories	USAID PROGRAM		RECIPIENT FUNDS	
	(1) Federal	(2) Non-Federal	{3}	
a. Personnel (1)	\$	\$	\$ NA	\$
b. Fringe Benefits (1)			NA	
c. Travel (1)			NA	
d. Equipment (3)			NA	
e. Supplies (3)			NA	
f. Contractual (3)			NA	
g. Construction N/A			NA	
h. Other (1), (2) (see notes)			NA	
i. Total Direct Charges (sum of 6a-6h)			NA	
j. Indirect Charges (4)			NA	
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$

**STANDARD FORM 424A**

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program		(b) Applicant	(c) State	(d) Oth
8.	Headquarters	\$	\$ NA	\$
9.	Field		NA	
10.	NA	NA	NA	
11.	NA	NA	NA	
12.	TOTAL (sum of lines 8-11)	\$	\$ NA	\$
SECTION D - FORECASTED CASH NEEDS				
13.	Federal	Total for 1st Year	1st Quarter	2 <sup>nd</sup> Quarter
		\$	\$	\$
14.	Non-Federal			
15.	TOTAL (sum of lines 13 and 14)			
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program		Future Funding Period		
		(b) First	(c) Second	(d)
16.	Headquarters	\$	\$	\$
17.	Field			
18.	NA	NA	NA	
19.	NA	NA	NA	
20.	TOTAL (sum of lines 16-19)	\$	\$	\$
SECTION F - OTHER BUDGET INFORMATION				
21. Direct Charges:		22. Indirect Charges:		
23. Remarks:				

## Standard Form 424A (cont'd.)

### INSTRUCTIONS FOR THE SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

#### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines, which prescribe how, and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

*For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).*

**Line 5 -** Show the totals for all columns used.

SF 424A (Rev. 4-92) Page 3

#### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column (a)* and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

#### Lines 1-4, Columns (c) through (g)

*For new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

*For continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

## Standard Form 424A (cont'd.)

### INSTRUCTIONS FOR THE SF 424A (continued)

#### Section B. Budget Categories

In the column headings (1) enter Federal, and (2) enter Non-Federal. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i** - Show the totals of Lines 6a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

#### Section C. Non-Federal Resources

**Lines 8-11** - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants who are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

#### Section D. Forecasted Cash Needs

**Line 13** - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

#### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be

needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

#### Section F. Other Budget Information

**Line 21** - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.

The following object class categories are those required on USAID Form 424A (Section B - Budget Categories):

a. **Personnel**

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

b. **Fringe Benefits**

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items.

c. **Travel**

This category includes all projected travel, per diem and other related costs for personnel **except** consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per diems are based on established policies.

d. **Equipment**

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

e. **Supplies**

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs can obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads/300/312/htm>.

f. **Contractual Services**

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-grants, which should be included in other.

g **Construction**

N/A



**h. Other**

PVOs are to identify all costs associated with training of project personnel.

PVOs planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

The PVO should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

Include in this budget class category all subgrants.

**i. Indirect Charges**

Include a copy of the PVO's most recent negotiated indirect cost rate agreement (NICRA) from cognizant audit agency showing the overhead and/or general administrative rate.

USAID Form 424A, Section C should reflect the PVO's and other sources' cash contribution to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include volunteer labor from U.S. or host country sources. The cash value of donated equipment or supplies, must be documentable.

**A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424.**

The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B-Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative. Do **NOT** use the four **Cost Elements of the Cooperative Agreement Budget shown below.**

**SAMPLE COOPERATIVE AGREEMENT BUDGET**

<u>Budget Cost Element</u>	SF 424, sec.B, Item 6 <u>Object Class Category</u>	<u>Budget Amount</u>
Program	Line a, b, c, and h	\$ _____
Training	Line h	\$ _____
Procurement	Line d, e and f	\$ _____
Indirect Costs	Line j	\$ _____
Program's Total Budget		\$ _____
Funding arrangement:		
Total USAID Amount		\$ _____
Recipient's Cost Share		\$ _____
Total Program Funding		\$ _____